

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	3531742
<b>Application Number:</b>	10632818
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	5247
<b>Title of Invention:</b>	Auction system and method for pricing and allocation during capital formation
<b>First Named Inventor/Applicant Name:</b>	William R. Hambrecht
<b>Customer Number:</b>	2101
<b>Filer:</b>	Jay Sandvos
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	2955/107
<b>Receipt Date:</b>	27-JUN-2008
<b>Filing Date:</b>	04-AUG-2003
<b>Time Stamp:</b>	14:37:04
<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment	yes
Payment Type	Deposit Account
Payment was successfully received in RAM	\$50
RAM confirmation Number	8751
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### File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1		dcg2955107_SupplAmendment.pdf	198137	yes	11
			5d834c1953de6f07e8a9a9a395c7a78d bffa9cab		

#### Multipart Description/PDF files in .zip description

Document Description		Start	End
Miscellaneous Incoming Letter		1	2
Supplemental Response or Supplemental Amendment		3	11

### Warnings:

### Information:

2	Fee Worksheet (PTO-06)	fee-info.pdf	8161	no	2
			11b9b5f27dab01a80118b5e26ed8077b 5c53adb3		

### Warnings:

### Information:

**Total Files Size (in bytes):** 206298

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#### New Applications Under 35 U.S.C. 111

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

#### National Stage of an International Application under 35 U.S.C. 371

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

#### New International Application Filed with the USPTO as a Receiving Office

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.